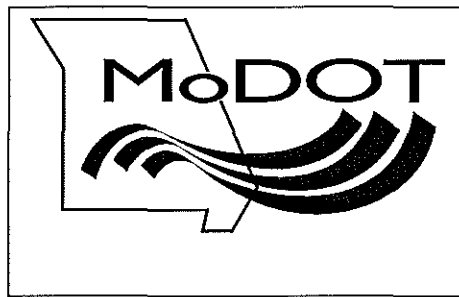


**Missouri Department
Of
Transportation**



Section 5316

**Job Access and Reverse Commute
Transportation Assistance Program**

State Management Plan

November 2010

Table of Contents

1. General Information	1
1.1 Program Goals and Objectives	1
1.2 Roles and Responsibilities	1
1.3 Designated Recipient	2
1.4 Program Measures	2
1.5 Other Information	2
1.5.1 Definitions	2
1.5.2 Transfer of funds	3
1.5.3 Private Sector Participation	3
1.5.4 Conflict of Interest	3
2. Planning Requirements – Coordination	3
2.1 Local Plan Criteria	4
2.2 Lead Agency	4
2.3 Public Participation	4
2.4 Inclusion in MPO Plans and TIPs	5
3. Project Requirements	5
3.1 Local Plan Requirement	5
3.2 Service Area	5
3.3 Eligible Subrecipients	5
3.3.1 Technical Capacity	5
3.4 Eligible Activities	6
3.5 Eligible Costs	6
3.6 Local Share Requirements	6
3.6.1 Operating Grants	6
3.6.2 Capital Grants	6
3.6.3 In-kind and Volunteer Contributions	7
3.7 Project Selection Criteria	7
3.8 Supporting Documentation	8
3.9 Fair and Equitable Distribution	8
3.10 Grant Cycle	9
3.11 Application Process	9
3.11.1 Applications	9
3.11.2 Technical Assistance	9
3.11.3 Public Hearing	10
3.12 Grant Management	10
3.12.1 Requests for Reimbursement	10
3.12.2 Audit	11
3.12.3 Reporting in FTA's TEAM System	11
4. State's Role and Responsibilities	12
4.1 State's Administrative Costs	12
4.2 Planning Workshops	12
4.3 Compliance with FTA Requirements	12
4.4 TEAM Grant Management	12
4.5 SAM II Accounting System	13

5.	Subrecipients Roles and Responsibilities	13
5.1	Compliance with FTA Requirements	13
5.2	Financial Capability	13
5.3	Property Management	13
5.3.1	Annual Inventory	13
5.3.2	Insurance	14
5.3.3	Transfer of Equipment	14
5.3.4	Records	14
5.3.5	Restrictions on Vehicle Use	14
5.3.6	Compliance with Federal Motor Carrier Regulations	14
6.	Compliance with Federal Requirements	14
6.1	Civil Rights	15
6.1.1	Equal Employment Opportunity	16
6.1.2	Section 504 and ADA	16
6.1.3	Environmental Justice	17
6.1.4	Limited English Proficiency	17
6.2	Buy America Regulations	17
6.3	Construction and Purchase of Real Property/Relocation	18
6.4	Rolling Stock Audit and Inspection	18
6.5	Anti-Lobbying and Debarment and Suspension	18
6.6	Substance Abuse Testing	19
6.7	Disadvantaged Business Enterprise Program (DBE)	19
6.8	Additional Regulations	20
7.	Revisions to the SMP	21
	Appendix A – Eligible Activities	
	Appendix B – Annual Certification	
	Appendix C – Field Audit Checklist	

1. General Information

1.1 Program Goals and Objectives - The Job Access and Reverse Commute Transportation Assistance Program, now known as JARC or Section 5316, was created to provide transportation for low-income individuals to work and work-related activities. The program is authorized through Chapter 53, Section 5316, of Title 49, United State Code.

As much as possible, activities must be coordinated with other transportation activities offered by public transportation providers or social service agencies. This coordination is assured by the development of locally developed, coordinated public transit-human services transportation plan (the Local Plan). All projects funded under the Section 5316 program must be derived from one of these plans.

The Section 5316 program was originally created as a short-term program to assist persons transitioning from welfare to jobs to gain access to employment. However, many entry-level jobs do not offer sufficient pay for workers to become transportation independent. The JARC program's inclusion in the SAFETEA-LU Transportation Authorization Law recognizes the need for continued support of both those entering the work force and those whose income is insufficient to meet all their mobility needs.

The Missouri Department of Transportation believes JARC funding should be used as a means to assist entry-level employees and other low-income workers in gaining access to jobs that will eventually enable them to become economically independent.

1.2 Roles and Responsibilities - The Governor of the State of Missouri has designated the Missouri Department of Transportation (MoDOT) as the agency responsible for administering funds for small urbanized (50,000-200,000) in population and nonurbanized (less than 50,000 in population) areas made available through Federal Transit Administration programs. The Transit Section of the Multimodal Operations Division is responsible for administering the program. Large urbanized areas (greater than 200,000 in population) will identify a designated recipient for the metropolitan area who will administer the appropriated funds.

The department also administers state transit operating assistance and the state funded Missouri Elderly and Handicapped Transportation Assistance Program.

Additional support is provided by the Chief Counsel's office and General Services (Purchasing).

This State Management Plan (SMP) describes the State's policies and procedures for administering the Section 5316 program. The SMP further

clarifies the requirements from the JARC circular and allows the State to tailor the program to their subrecipients needs.

MoDOT completed a long-range plan (released April 11, 2007) that included transit issues. The plan was developed from stakeholder committees that met four times during the planning process. Transit issues discussed were the need for capital investment and continued operating support for the transit systems.

MoDOT works with local public officials through the regional planning commission and metropolitan planning organizations whose board members are local officials. Member of the Long-Range planning team attend both policy and technical committee meetings.

1.3. Designated Recipient - The Missouri Department of Transportation (MoDOT) has been named the designated recipient for this program for the small urbanized and nonurbanized areas. Large urbanized areas will administer their own funds. The responsibilities of the designated recipient are included in Section 4.

The Interagency Committee on Special Transportation acted as MoDOT's review committee for the development of the workshop training materials. The committee includes representatives from the departments of Elementary and Secondary Education, Social Services-Family Support (Medicaid), Mental Health, and Social Services, and the Governor's Council on Disability

1.4 Program Measures – MoDOT is required to collect data on two annual performance measures for the JARC program. Those measures are: 1) actual or estimated number of jobs that can be accessed as a result of geographic or temporal coverage of JARC, and 2) actual or estimated number of one-way rides provided as a result of the JARC projects.

1.5 Other Information

1.5.1 Definitions - The following definitions will apply to the SMP:

JARC Circular: Circular 9050.1 issued by the Federal Transit Administration containing program guidance and application instructions.

Eligible Low-income individual: an individual whose family income is at or below 150 percent of the poverty line (as defined in 42 USC 9902(2) Section 673(2)).

Fare: cash, transit pass, or coupon that must be presented by the rider he/she is allowed to board the vehicle, whether or not the rider may be reimbursed for the ride at a later time. Transit passes purchased by human service agencies for their clients are counted as fares as the passes may be used for purposes other than the JARC transportation.

Metropolitan Planning Organization (MPO): an organization located in a small or large urbanized area that is responsible for highway and transit planning.

Nonurbanized area: Any area not included in a small or large urbanized area of 50,000 persons or more that meets the density requirements of the last decennial census.

Regional Planning Commission (RPC): one of 19 quasi-public entities that conducts planning and grant administration for its member municipalities and counties.

Small urbanized area: an area with a population of 50,000-200,000 persons and that meets the density requirement of the last decennial census.

Subrecipient: an entity that receives a JARC grant through MoDOT. An "applicant" becomes a subrecipient upon being awarded funds.

1.5.2 Transfer of Funds - Funds may be transferred between small urbanized and nonurban areas if the Governor certifies the objectives of the JARC program are being met in the specified areas. The State may also transfer JARC funds to the small urbanized (Section 5307) or nonurbanized (Section 5311) programs. However, the funds must be used for JARC eligible activities.

Any transfer of other funds, i.e. CMAQ, will be in compliance with the JARC Circular, Section III.

1.5.3 Private Sector Participation - Private for-profit entities are not eligible to apply for JARC funding. However, MoDOT encourages subrecipients to contract whenever feasible with the private sector for service. Local organizations are encouraged to use private providers in their Section 5316 projects to the greatest extent possible. The department has developed standard procedures for soliciting private bids and executing subcontracts. Local projects that make use of taxi services are also encouraged.

1.5.4 Conflict of Interest - All subrecipients are required to develop and implement policies that ensure proper use of project funds, facilities, and equipment including policies on personal gain by staff or board members, employment of relatives, or preferential operation of project services.

2. Coordination Planning Requirements

All projects must be derived from a locally developed, coordinated public transit-human services plan (the Local Plan). MoDOT will assist local agencies in developing the plan (see MoDOT's activities in Section 4). This scope of the

plan must address the needs of the elderly and disabled as well as those with low incomes. Funding for the Section 5310 (Elderly Individual and Individuals with Disabilities Capital Assistance Program) and Section 5317 (New Freedoms Program for services beyond the requirements of the Americans with Disabilities Act).

2.1 Local Plan Criteria - For the JARC program, the Local Plan must meet the following criteria:

2.1.1 An assessment of available services that identifies current transportation providers - public, private, and not-for-profit. The assessment should include the number of vehicles (both accessible and non-accessible), service area, and days and times of operation.

2.1.2 An assessment of the transportation needs of people with low incomes. The assessment can be based on the experiences and perceptions of the planning partners or on more sophisticated data collection efforts. Gaps in service should be identified.

2.1.3 Strategies and activities that would address the identified gaps in service. Applicants are urged to not include specific projects in the plan, as the plan should be based on a higher level of need. Including only strategies and activities will allow the subrecipients to have more flexibility to meet the changing transportation needs of their riders.

2.1.4 Priorities of implementation based on resources. Prioritizing strategies will allow the subrecipient to select the most important projects as funding becomes available. MoDOT recognizes that the highest priority activities may not be the projects that are implemented due to the small amount of federal funding available and/or the availability of local match.

2.2 Lead Agency - The lead agency in the planning process (in Missouri, this will be the MPOs and the RPCs) must develop a process for adoption of the plan. All plans must be submitted to and approved by MoDOT's Transit Section before any funding will be allocated.

2.3 Public Participation - Development of the plan must include an opportunity for all interested parties to participate. The planning process should include human service agencies, local governments, private and public transit providers, and potential riders as well as members of the general public. There should be specific methods for outreach to low-income individuals who are not part of the human services delivery system. The Local Plan should document how public participation was solicited, i.e. newspaper ads, public service announcements, direct mail, etc. A lack of public interest in the project will not count against the project if adequate outreach was conducted.

2.4 Inclusion in MPO Plans and TIPs – All projects in small urbanized areas or nonurban areas that lie within the planning area of an adjacent Metropolitan Planning Organization (MPO) must be included in the MPO's plan. All nonurban projects will be described at the program level in the Statewide Transportation Improvement Program (STIP).

3. Project Requirements

Projects will be awarded funding on a competitive basis. For evaluation purposes, the applicants must submit information that can be evaluated on a quantitative basis as well as general information about the project itself.

3.1 Local Plan Requirement - The project must be derived from a submitted and approved Local Plan as discussed in Section 2.

3.2 Service Area - The area served by each project must be defined. No more than one application will be funded in any given service area except under special circumstances as determined by MoDOT. If multiple applications are received for the same service area, the applicants will be permitted to combine their applications and coordinate the planned services. MoDOT strongly encourages transit providers to meet to coordinate transit services prior to submission of an application.

The JARC funding administered by MoDOT has two categories, small urbanized and nonurban.

3.2.1 Funding for small urbanized areas can only be used to transport residents of small urban areas to employment. However, there is no similar restriction on the location of the employment sites where riders are taken.

3.2.2 Funding for nonurban areas can only be used to transport residents of nonurbanized areas to employment. As mentioned above, there is no restriction on the location of the employment sites.

3.3 Eligible Subrecipients - Eligible subrecipients are local public bodies and their agencies, private not-for-profit organizations, and Indian tribal reservations. Currently, no Indian Tribal reservations exist within the State of Missouri. Private for-profit operators may participate in the planning process but may only receive funds under contract with an eligible recipient with the concurrence of MoDOT.

3.3.1 Technical Capacity - Applicants must demonstrate they have the technical capacity to carry out the project. Technical capacity means an organization has:

1. a structure of policies and procedures that allows them to function in an efficient and effective manner;

2. a staff of trained employees who are capable of following the policies and procedures;
3. an accounting system and other tracking methods that ensure financial responsibility and asset control; and
4. the knowledge and ability to comply with federal, state, and local laws, regulations, and/or requirements.

3.4 Eligible Activities - JARC funding may be used for work-related transportation for welfare recipients and other low-income individuals. A low-income individual is one whose family income does not exceed 150% of the poverty line as defined by 42 USC 9902(2).

Work related transportation may include service to and from training classes, pre-employment interviews, physicals and pre-employment substance abuse testing, and taking children to childcare.

Eligible activities may include late-night and weekend service, guaranteed ride-home service, shuttle service, expansions of existing fixed-routes, and ridesharing and carpooling activities. A complete list of permitted activities, as listed in FTA Circular 9050.1 dated May 1, 2007, is attached as Appendix A.

3.5 Eligible Costs – Eligible expenses include general administration (expenses that are necessary for the operation of the service but cannot be directly tied to a particular vehicle or route) and overhead, insurance professional services, vehicle maintenance, facility maintenance, and direct transportation expenses. Educational/training expenses are eligible; nonurban JARC recipients may also qualify for training under the Section 5311 Rural Transit Assistance Program. Eligible capital expenses include vehicles, equipment, and facilities. Operating assistance requests will have first priority, followed by vehicles and equipment. Due to the limited amount of JARC funding available, MoDOT does not plan to fund any facilities.

3.6 Local Share Requirements - Local share can come from a variety of sources. The only funding source that cannot be used as match is funding received through another U. S. Department of Transportation program. This restriction applies whether the applicant receives these funds directly or if the funding flows through a state program.

3.6.1 Operating Grants - JARC funding for operating projects cannot exceed 50% of the total eligible project cost. Total project cost is determined by calculating the total operating costs of the project including any in-kind expenses (salaries paid by another entity or office space provided at no cost) and subtracting any fares paid by the riders (see definition of fares in Section 1).

3.6.2 Capital Grants - JARC funding for capital acquisitions

cannot exceed 80% of the total cost of vehicles and/or equipment. ADA related improvements and bicycle access improvements may be funded at a 90/10 ratio if funding permits. The applicant must verify that sufficient funds from non-operating sources are available for local match at the time of application. Operating funding will take precedence over capital funding.

Any equipment costing over \$5,000 must be capitalized, not expensed. Items costing under \$5,000 may be capitalized according to the recipient's own requirements. Items costing less than \$500 are not eligible for capital funding at an 80/20 ratio but may be expensed as operating expenses.

3.6.3 In-kind and Volunteer Contributions - Volunteer and contributed services may be included in a project budget as an expense and as a part of the local share in the calculation of projects costs. Volunteer and contributed services may not, however, replace any contract revenue, passenger revenue, payment for services or unrestricted donations earned by the subrecipient during the project period. MoDOT must approve all volunteer services and the value assigned to them in advance. Time sheets and other documentation must be kept to substantiate the value of any volunteer or contributed services. In-kind donations such as office space must be valued at the market rate of the community in which the office is located.

3.7 Project Selection Criteria - If funding requests exceed the amount of funding available, the application will be evaluated based on the following criteria:

3.7.1 Is the project a continuation of an existing project already funded through the JARC Program? - 25 points

3.7.2 What is the percentage of low-income persons in the service area as compared to the State of Missouri as a whole? - 15 points

3.7.3 Has local funding for the project been secured? - 10 points

3.7.4 Will the local funding provide more than 50% of the net eligible cost - 10 points

3.7.5 Will the project be integrated with existing transportation? - 10 points

3.7.6 What percentage of the funding request will be used for administrative costs? - 10 points

3.7.7 Is the strategy for the project listed as a high priority in the Local Plan? - 5 points

3.7.8 Are local employers involved in the project and providing local match? - 5 points

3.7.9 Will the transportation provided take employees to full-time, year-round employment? - 5 points

3.7.10 Estimated number of persons to be served (methodology must be submitted with application and should address the estimated number of jobs that can be accessed) - 5 points

The number of jobs that can be accessed is a performance measure that MoDOT will be required to report to FTA. Care should be taken to make the estimate as accurate as possible.

3.8 Supporting documentation - Documentation must be submitted to address the questions listed in Section 3.5. At a minimum, the following information must be provided:

3.8.1 The start date of the project if funding is being requested for an existing project or the proposed starting date of the project if it is a new project.

3.8.2 Demographic information on the unemployment rate and percentage of low-income persons in the service area as compared to statewide date.

3.8.3 A description of the source and amount of local funding available. If cash is not in hand, submit written letter of commitment from the funding sources.

3.8.4 A list of all transportation providers participating in the project.

3.8.5 A list of all potential employment sites and the degree of participation that is anticipated by each employer (whether cash or some other type of support).

3.8.6 A description of the jobs to be accessed, i.e. full-time/part-time, year-round/seasonal, entry level, etc.

3.8.7 Either a copy of the Local Plan or reference to the strategy, section, and page of the Local Plan from which the project was derived.

3.9 Fair and Equitable Distribution – Before grant awards are made based on the above criteria, MoDOT will review the geographic and demographic distribution of the grants. While some areas may not receive funding in any one

grant cycle, MoDOT will distribute the grants as evenly as possible. As historical data is made available, the selection criteria may be revised to address this issue.

3.10 Grant Cycle - The funding cycle will be based on the State fiscal year, July 1 to June 30. Applications may be submitted for multiple years.

3.11 Application Process - Biannually, MoDOT will notify current subrecipients, the RPCs, transit systems, MPOs in small urbanized areas, and boards and/or organizations formed to develop the Local Plan of the availability of funds.

3.11.1 Applications - The application will be available on MoDOT's website or interested parties may contact MoDOT's Transit Section for applications. MoDOT plans to allocate funds in two or three year cycles. In a funding year, all applications will be due April 1 of that year for the fiscal year beginning July 1. Grants will be awarded on or before May 15.

For State Fiscal Year 2008, applications cannot be accepted until the local plans have been completed and approved. MoDOT will announce a deadline for those applications based on the timing of the submittals.

All awards are dependent on the funding being allocated by the FTA and published in the Federal Register and the Local Plan having been submitted to and approved by MoDOT

3.11.2 Technical Assistance - Technical assistance will be available for the development and evaluation of projects. First time applicants are urged to contact MoDOT's Transit Section as early in the project development phase as possible.

As JARC projects must be derived from a Local Plan, technical assistance for the development of these plans was provided through a series of 11 workshops held in various locations. Transit providers, human services agencies and the RPCs were among those invited. The Administrator of Transit made presentations to the Missouri Association of Council of Governments (MACOG), which is the RPC's statewide organization. The state administration funds available in the JARC funding were used to fund the RPCs for development of the plan. Transit staff also attended both MPO and RPC meetings during the development process.

Continuing technical assistance will consist of attendance at RPC and MPO meetings to answer questions. Transit staff regularly meets with interested committee/task forces to inform them on all the programs available. The Section 5311 program manager also provides technical assistance to Section 5311 providers who may want to receive JARC funding.

Applications are posted on MoDOT's website with information about how to contact MoDOT.

MoDOT plans to continue to work with the RPCs as Local Plans must be updated and new projects may be initiated. More workshops may be deemed necessary as the programs (5310, 5316 and 5317) evolve and mature.

3.11.3 Public Hearing - A public hearing is required for any capital project that will have a substantial environmental impact on the community. Applicants planning to request funding to purchase vehicles and equipment are not required to hold a public hearing as the purchase of vehicles and equipment does not meet that criteria.

3.12 Grant Management – Subrecipients must have the financial resources available to manage the project. The JARC grant program is a “reimbursement” program, i.e. funds can be requested only after the expenses have been paid. Requests may be made monthly or quarterly.

If the subrecipient provides services other than transportation, the accounting system must be capable of identifying the JARC expenses and revenues separately from other operations.

In-kind donations such as a portion of an employee's salary being charged to the grant must be documented by timesheets. For other in-kind donations such as rent, the fair market value of the space must be established before the donation can be included in the expense.

3.12.1 Requests for Reimbursement – All subrecipients will be issued reimbursement forms to be used when requesting grant funds. The following information must be submitted:

- Number of Rides provided during the time period
- Number of Individuals Served
- Mileage
- Detail of Expense
- Detail of Fares, Local Match and Other Revenues

Program Income - As of October 1, 2010, grantees are required to report program income on the monthly/quarterly requests for reimbursement. Program income includes revenues from advertising, room rental of any federally funded facility, and voluntary rider donations. This information must be reported annually to FTA as an accumulative total for each operating grant.

The request for reimbursement must include an original signature of an officer or director of the subrecipient. Faxed requests will not be honored except under

special circumstances. Recipients must request reimbursement on a monthly or quarterly basis with requests due 60 days after the close of the period. Additionally, MoDOT may request information be submitted on a semiannual or annual basis to comply with federal requirements.

The number of rides provided is one of the performance measures that will be reported to the FTA. Recipients will be expected to send in requests for reimbursement in a timely manner so this information can be forwarded to the FTA annually.

3.12.2 Audit – At the end of the project period, recipients are required to submit a consolidated statement of revenues and expenses for the entire project period. The recipient must also submit a report prepared by an independent auditor in accordance with the department's audit guidelines. For grant recipients who expend more than \$500,000 in federal funds during any fiscal year, FTA requires audits to comply with OMB Circular A-133 "Audits of States, Local Governments, and Non-Profit Organizations". These audit reports must be received within nine months after the end of the recipient's fiscal year. The Section 5311 Program Manager tracks receipt of all audits.

All recipients whose total transportation budget exceeds \$50,000 must have an independent audit annually. Not-for-profit recipients whose total transportation expense for the year is less than \$50,000 may request a field audit by MoDOT personnel in lieu of an independent audit.

The department will review the recipient's statement of revenues and expenses and independent audit and determine allowable Section 5316 funding. The project is then closed upon final financial adjustments.

3.12.3 Reporting in FTA's TEAM System - The department is required to submit annual updates to FTA through their electronic grant management system (known as TEAM). Milestones (dates at which certain events occur) and a written narrative about the grant's progress are entered into TEAM annually for each open grant.

The following is Multimodal Operations Procedure for Reporting Unliquidated Obligations for Federal Financial Reports (FFR):

1. When a grant is awarded by FTA and executed by MoDOT's Multimodal Operations Director, a Program of Projects is given to the Financial Services Specialist by the Program Manager that provides scope-level detail of the budget for the grant.
2. With the grant's Program of Projects summary detail, the Financial Services Specialist will enter the total grant budget with scope detail into SAM-II (Financial Advantage, the State of Missouri Accounting System).
3. As agreements and contracts are commenced with sub-grantees and vendors, the value of those agreements and contracts will be entered into

- SAM-II as encumbered amounts which will be the amounts reported as the Federal or Recipient's Share of Unliquidated Obligations in the FFR .
4. As the agreements and contracts are disbursed, these amounts will be reported as expenditures and reported in the FFR category of Total Expenditures.
 5. Taking the total amount of the grant, then deducting the expenditures and Unliquidated Obligations, will give the amount of the Unobligated Balance of Federal Funds, which will include the grant scope amount for State Administration.
 6. When preparing the FFR's and before submitting them to FTA, the Financial Services Specialist will have the Program Managers review for accuracy the amounts that are reported in the FFR.

Within 90 days of final expenditure of all funds in a federal grant, MoDOT will submit a Federal Financial Report, final budget, and final program of projects through the TEAM system to FTA.

4. State's Role and Responsibilities

As the state agency designated by the Governor to administer JARC funding, MoDOT will provide planning and technical assistance to all applicants.

4.1 State Administrative Costs - The State is permitted to reserve up to 10% of JARC funding for costs incurred administering the grant. These funds will be used to assist the RPCs in completing the Local Plans and to provide continuing assistance to the RPCs and subrecipients.

4.2 Planning Workshops - With the inception of the planning requirements outlined in Section 2, MoDOT conducted 11 workshops statewide to familiarize the RPCs and other interested parties in the planning process. A CD was also distributed with the workshop presentation and other information to all attendees. MoDOT will continue to work with the RPCs in updating the Local Plans required and conducting other workshops, if required.

4.3 Compliance with FTA Requirements - MoDOT will comply with all federal requirements as contained in the Master Agreement. These requirements are outlined in Section 6.

4.4 TEAM Grant Management – The Section 5316 Program Manager will apply for federal funds through FTA's TEAM software system. A program of projects will be developed that includes the following information for each subrecipient:

- Location
- Service Area
- Status as Public or Non-Profit Agency
- Status of Small Urbanized Area or Nonurban Area

Federal Share
Total Cost
Congressional District
Description of Project

4.5 SAM II Accounting System – MoDOT uses the State Office of Administration's SAM II accounting system to track grant payments. The Multimodal Operations division has two full-time employees who enter all transactions in the system.

5. Subrecipients Roles and Responsibilities

Applicants who are awarded funds must demonstrate they are financially and technically capable of carrying out the project.

5.1 Compliance with FTA Requirements - Applicants must agree to comply with all federal requirements as listed in the Master Agreements. The application contains the required certifications and assurances that must be completed and signed before any funding will be allocated. The certifications and assurances are also part of the agreement between the subrecipient and the Missouri Highways and Transportation Commission. This agreement is reviewed by the Chief Counsel's office annually.

5.2 Financial Capability - Subrecipients are required to have the financial capability to fund the project. The grant program is a reimbursement program so subrecipients must have financial resources available to expend funds and then be reimbursed for the federal portion of the expense.

Subrecipients must have formal procurement procedures that, at a minimum, meet state and federal guidelines (see FTA Circular 4220.1, as amended). Any purchase of \$25,000 or more must be advertised and procured by sealed bid. This is a MoDOT requirement, not a federal requirement. For purchases of less than \$25,000, the subrecipient should establish a written procedure for purchasing that ensures the lowest prices is paid for any items for which there is an opportunity for competition.

MoDOT provides a list of the Terms and Conditions that must accompany all purchase orders more than \$3,000, which are considered a "micro-purchase".

Any leases entered into by the Recipient must first be evaluated by MoDOT to establish whether leasing is more cost effective than purchase.

5.3 Property Management - Vehicles and equipment purchased with JARC funds are subject to the following requirements:

5.3.1 Annual Inventory - All subrecipients must submit an annual

inventory listing all vehicles and equipment purchased with JARC funds. A current odometer reading for vehicles is required. Subrecipients will also be required to submit a signed certification stating the vehicle and/or equipment is being used for the purpose intended (see Appendix B).

5.3.2 Insurance - Subrecipients must insure the vehicle(s) for accident liability and general collision. Replacement insurance should also be carried on all equipment.

5.3.3 Transfer of Equipment - Capital equipment may be transferred from one JARC subrecipient to another upon MoDOT's approval. Vehicles must meet a useful life requirement before they can be disposed.

Minimum standards for vehicle useful life are:

Vans, straight or modified - 100,000 miles
Minibuses (body on chassis) - 100,000 miles
Larger vehicles - as determined by Altoona test report

Computer systems have a useful life of three years. The useful life for other equipment will be determined at the time of purchase.

A subrecipient who owns equipment that has not met its useful life, and who discontinues their JARC project, will be required to either transfer the property to another JARC recipient or reimburse MoDOT for 80% of the fair market value.

5.3.4 Records - Records must be maintained for all capital purchases. At a minimum, the following information must be included: maintenance records, agreements with MoDOT, documentation of lowest price, and invoices for equipment other than vehicles. Records must be kept for three years after the disposition of any capital equipment.

5.3.5 Restrictions on Vehicle Use - Vehicles must be used for JARC transportation only. Personal or administrative use of vehicles is not permitted.

5.3.6 Compliance with Federal Motor Carrier Regulations – It is the subrecipients' responsibility to comply with all Federal Motor Carrier Regulations as they may apply to their operations. MoDOT's Division of Motor Carrier Services provides technical assistance through workshops and a help desk.

6. Compliance with Federal Requirements

To receive federal funds, MoDOT (the recipient) and all subrecipients must agree to comply with all federal requirements. If subrecipients contract with private for-

profit providers, these requirements will also apply and all contracts or agreements must include the certifications and assurances listed below.

6.1 Civil Rights - Title VI of the Civil Rights Act of 1964 is a Federal law that protects individuals and groups from discrimination on the basis of their race, color, and national origin in programs and activities that receive Federal financial assistance. Reference to Title VI includes other civil right provisions of Federal statutes and related authorities to the extent they prohibit discrimination in programs and activities receiving Federal financial assistance.

Title VI compliance is defined as when the recipient has effectively implemented all of the Title VI requirements or can demonstrate that every good faith effort has been made toward achieving this end. MoDOT and all Section 5311 program recipients must meet these requirements.

All programs conducted by MoDOT and the Section 5311 program recipients must meet the requirements. Education, training, work opportunities, benefits, and provision of services are examples of programs that must meet the Title VI requirements, whether provided directly by the recipient or its agents, contractors, or other vendors.

Discrimination is defined as: an act (action or inaction) whether intentional or unintentional, through which a person or group, solely because of race, color, national origin, disability, sex, age or income status, has been otherwise subjected to unequal treatment or impact, under any program or activity receiving Federal financial assistance.

A complaint may be filed by any individual or group that believes they have been subjected to discrimination or retaliation based on their race, color, national origin, sex, age, disability or income status. The complaint may be filed by the affected party or a representative and must be in writing.

Section 5311 program recipients who feel they have been discriminated against by any MoDOT employee or its agent/contractor may contact MoDOT's External Civil Rights Office. A review will be made to determine if MoDOT has jurisdiction to investigate the issues raised. If MoDOT does not have jurisdiction, the complaint will be forwarded to the appropriate agency. If MoDOT does have jurisdiction, the allegations will be investigated and an attempt will be made to resolve the matter. If violations are found and negotiations to correct the violation are unsuccessful, enforcement proceedings may be initiated to attain compliance.

In addition, any individual or group who believes they have been discriminated against by an employee of a Section 5311 program recipient or its agent/contractor should first contact the Section 5311 recipient in writing. MoDOT should also be notified of the complaint within 5 working days.

MoDOT and the Section 5311 program recipients are prohibited from retaliating against any person because they reported an unlawful policy or practice, or made charges, testified, or participated in any complaint action under Title VI. If an individual or group believes they have been retaliated against, they should immediately contact MoDOT's External Civil Rights Office to report their allegation. Filing a complaint with MoDOT does not prevent an individual or group from seeking remedy through other resources.

Complaints should be addressed to:

External Civil Rights/Title VI Coordinator
P. O. Box 270
Jefferson City, MO 65102
573-526-2978

6.1.1 Equal Employment Opportunity - All applicants must agree to Federal Transit Administration equal employment requirements that are made a part of the Section 5316 Agreement. MoDOT requires an Equal Employment Opportunity program plan prepared in accordance with FTA Circular 4704.1 to be submitted by Section 5316 recipients with 50 or more employees and who have received capital or operating assistance grants, or a combination thereof, in excess of \$1,000,000 in annual FTA funding, or in excess of \$250,000 of FTA planning funds, in the previous federal fiscal year. Recipients are monitored for compliance during field inspections.

6.1.2 Section 504 and ADA - All subrecipients will be required to comply with all regulations concerning equivalent service and access to individuals with disabilities as defined by Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1991.

All subrecipients are required to annually certify they have sufficient accessible vehicles to meet the ADA requirements for equivalent service. The certificate is included in the Section 5316 funding application.

Entities Operating Fixed Route Systems All entities, whether public or not-for-profit, operating a fixed route system, must purchase vehicles that are readily accessible and usable by individuals with disabilities. Entities operating fixed route systems are also required to provide complementary paratransit services that must meet the requirements of Public Entities Operating Demand Response Systems. Providers must develop Complementary Paratransit plans that provide for service to anyone within a ¾ mile radius of the fixed-route who is not able to access the fixed-route service. Providers may require a rider to qualify for the service. The plan must be developed with public input and reviewed annually to assess the effectiveness. (see next paragraph).

Public Entities Operating Demand Response Systems Both accessible and non-accessible vehicles may be utilized in providing this service depending upon the

clients served. Public entities operating demand response systems with non-accessible vehicles must meet the requirements of 49 CFR 37.77. The service must provide equivalent service to individuals with disabilities based on the following criteria: 1) response time, 2) fares, 3) geographic area of service, 4) hours and days of service, 5) restrictions or priorities based on trip purpose, 6) availability of information and reservations capability, and 7) any constraints on capacity or service availability.

Not-for-profits and other Private Providers Operating Demand Response Systems Providers may acquire both accessible and non-accessible vehicles if they meet the requirements of 49 CFR Section 37.105 in providing equivalent service to individuals with disabilities. Evaluation of equivalent service will be based on the following criteria: 1) response time, 2) fares, 3) geographic area of service, 4) hours and days of service, 5) availability of information, 6) reservations capability, 7) constraints on capacity or service availability, and 8) restrictions priorities based on trip purpose.

The status of the lead agency in a transit project determines what service must be provided and what vehicles may be purchased, i.e. a public entity that contracts with a private not-for-profit to provide service must comply with the requirements for public entities.

6.1.3 Environmental Justice - Due to the limited amount of Section 5316 funds, MoDOT does not plan to fund any facility projects. However, if facility projects are allowed in the future, the following guidelines will apply. New construction or rehabilitation of an existing structure will take into consideration the needs of the community's minorities and low-income populations. While Section 5316 facility projects will generally not have a significant impact on a community, adverse effects will be considered to community cohesiveness, destruction or disruption of public or private service, change in employment opportunities, traffic and parking issues, environmental quality, and historic structures.

All grantees must also consider the needs of minorities and low-income populations when establishing routes, service areas, and hours of operation.

6.1.4 Limited English Proficiency - Recipients whose service areas include populations with limited English proficiency must develop and implement strategies to make the service accessible to those populations. Translator services, language instruction for dispatchers and drivers, and bilingual advertising and signage are examples of those strategies.

6.2 Buy America Regulations - The Buy America requirements apply to all FTA funded purchases of more than \$100,000, not just vehicles. Bidders are required to execute the Buy America certification at the time of bid submission. (For an RFP, the certification must be executed no later than the

best and final offer submission.)

MoDOT conducts pre-award and post delivery vehicle audits as outlined in Conducting Pre-Award and Post-Delivery Audits for Bus Procurements. All bidders must submit a statement of domestic content with their bids. The statements are evaluated before bids are awarded. Domestic content is also reviewed when 1) 20 or more vehicles are purchased for one subrecipient from one manufacturer, MoDOT conducts an inspection at the factory, and 2) every vehicle is inspected just prior to delivery. In addition, vendors must submit a post-delivery statement of domestic content for all vehicles. Steel, iron and manufactured products must be manufactured in the United States from domestic components. For rolling stock, final assembly must occur in the United States and the cost of components made in the United States must be greater than 60% of the cost of all components.

6.3 Construction and Purchase of Real Property/Relocation -

Applications for Section 5316 assistance involving purchase of real property and relocation of persons will comply with all laws and regulations involving property acquisition, relocation of persons and/or businesses, environmental and historical preservation. The department provides specific assistance to guide the applicant through the land acquisition process.

In the event that JARC funds are ever made available for facility projects, the project will only be funded after a feasibility study is submitted to and approved by FTA. The feasibility study will address such issues as environmental protection, historic preservation, and environmental justice.

6.4 Rolling Stock Audit and Inspection - MoDOT staff will conduct all rolling stock audits required by FTA. Recipients are required to maintain a log on each vehicle detailing repairs and preventive maintenance (see Appendix B for more details). Department staff will inspect vehicles for condition, cleanliness, presence of safety equipment including, but not limited to, first aid kits, blood borne pathogens kits, seat belt cutters, and fire extinguishers. Lift equipment and wheelchair restraints will also be inspected. At a minimum, vehicles must be maintained according to the manufacturer's recommendations and warranty requirements.

6.5 Anti-Lobbying and Debarment and Suspension

6.5.1 Lobbying - MoDOT and all applicants will be required to abide by FTA's requirements regarding anti-lobbying restrictions. Recipients may not use federal funds for lobbying purposes. Grant recipients whose federal funds exceed \$100,000 in any one year are subject to reporting requirements if any non-federal funds are used for lobbying.

6.5.2 Debarment and Suspension - Recipients of federal funds

may not transact business with anyone who has been debarred and/or suspended from doing business with the federal government. Recipients are responsible for researching that potential contractors and/or subrecipients are not debarred and/or suspended; a list of entities that have been debarred and/or suspended is available at <http://epls.arnet.gov> .

6.6 Substance Abuse Testing - Subrecipients who receive funding only through the Section 5310, 5316, or 5317 grant program are not required to have a Substance Abuse testing program as required by CFR 49, Parts 40 and 655. However, if the subrecipient receives funding through the Section 5307, 5309, or 5311 programs, the Substance Abuse testing program requirement will apply to all safety-sensitive employees, including those whose employment is funded through the Section 5310, 5316 or 5317 programs.

Recipients and their contractors who employ safety sensitive personnel (excluding safety sensitive contract maintenance personnel for recipients of Section 5311 funding) must have written drug and alcohol policies as required by FTA. Recipients and their contractors will allow MoDOT designated personnel review the drug and alcohol program records for compliance. Recipients are required to complete FTA's Management Information System (MIS) forms online annually. Reports are based on the calendar year.

Subrecipients who are exempt from the FTA's testing requirements may still have to comply with Federal Motor Carrier regulations if they have drivers who hold Commercial Drivers Licenses and drive commercial motor vehicles.

6.7 Disadvantaged Business Enterprise Program (DBE) - MoDOT has developed and implemented a plan to provide opportunities for disadvantaged businesses to participate in federally funded projects. The DBE Program is designed to provide equal opportunity for minority-, disabled-, and women-owned companies to compete and perform on contracts. MoDOT will assist subrecipients with goals associated with the DBE program.

DBE Program Threshold Requirements: The U.S. DOT DBE regulations at 49 CFR 26.21(a)(2), and as subsequently amended and published in the Federal Register on June 16, 2003, require FTA recipients and subrecipients who project awarding more than \$250,000 in federally-assisted prime contracts in a Federal fiscal year to have a DBE program. This change affects new recipients and subrecipients or recipients and sub-recipients who do not have a DBE program. As MoDOT is considered the recipient for the Section 5316 program, all Section 5316 subrecipients must report their DBE activity. Prime contracts include contracts for goods as well as contracts for services. As defined by the Federal Acquisition Regulation, a "contract means a mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. Contracts would include bilateral instruments, awards and notices of awards; job order or task assignment letters issued under basic ordering agreements; letter contracts; orders, such as purchase orders,

under which the contract becomes effective by written acceptance or performance; and bilateral contract modifications. Contracts do not include grants and cooperative agreements." (FAR 1.101)

3. Accordingly, all documents issued by FTA recipients and subrecipients that include any of the instruments as described above for FTA-funded capital, operating or planning assistance would constitute a prime contract, and thus would need to be calculated in the recipient's determination for meeting the basic \$250,000 threshold.

DBE information posted on MoDOT's website (www.modot.org) includes a handbook, Missouri Department of Transportation Disadvantaged Business Enterprise Program, and a directory of certified businesses that is published annually and updated on the web every two weeks. The website also lists contact information to obtain current DBE goals and other information.

Reporting Requirements: Semiannual reports will be submitted to the Section 5316 Program Manager using the Chart of Accounts listing the number of contracting opportunities, dollar amount of purchases, dollar amount of contracting opportunities, and number of contracting opportunities and the dollar amount of those opportunities that involved certified DBE contractors.

Reports will be submitted based on the Federal Fiscal Year; April through September's report is due December 1 and October through March's report is due June 1.

6.8 Additional Regulations - Each recipient is required to complete an application that will be updated annually to ensure compliance with all federal regulations. MoDOT staff will be responsible for distributing up-to-date applications to each potential recipient and will make revisions to the agreements as necessary to comply with federal regulations, including, but not limited to, the following:

- Program Fraud
- Charter and School Bus Service Prohibition
- Breaches & Disputes
- Clean Water
- Federal Changes
- Energy Conservation
- Incorporation of Federal Terms
- Termination Provisions
- Clean Air
- Privacy Act
- 3rd Party Obligations
- State & Local Law Disclaimer
- Acquisition of Private Mass Transportation Companies
- ITS Architectural Compatibility.

7. Revisions to the SMP

References to FTA and other federal and/or state regulations are current as of the date of the latest revision to this plan. MoDOT will administer the Section 5316 program according to the latest regulations. References to specific regulations will be considered revised accordingly without formal re-submission of the state management plan to FTA for approval. Any revisions will be listed in an appendix and sent to all Section 5316 providers.

FTA will be notified of minor revisions and, if major revisions are made, public comment will be solicited before FTA's approval is requested. Any public comments will be made available to FTA.

11. ELIGIBLE ACTIVITIES. Funds from the JARC program are available for capital, planning, and operating expenses that support the development and maintenance of transportation services designed to transport low-income individuals to and from jobs and activities related to their employment and to support reverse commute projects.

In the conference report accompanying SAFETEA-LU, the conferees stated an expectation that FTA would “continue its practice of providing maximum flexibility to job access projects that are designed to meet the needs of individuals who are not effectively served by public transportation, consistent with the use of funds described in the *Federal Register*, Volume 67 (April 8, 2002)” (H.R. Report 109–203, at Section 3018 (July 28, 2005)). Therefore, eligible projects may include, but are not limited to capital, planning, and operating assistance to support activities such as:

- a. Late-night and weekend service;
- b. Guaranteed ride home service;
- c. Shuttle service;
- d. Expanding fixed-route public transit routes;
- e. Demand-responsive van service;
- f. Ridesharing and carpooling activities;
- g. Transit-related aspects of bicycling (such as adding bicycle racks to vehicles to support individuals that bicycle a portion of their commute or providing bicycle storage at transit stations);
- h. Local car loan programs that assist individuals in purchasing and maintaining vehicles for shared rides;
- i. Promotion, through marketing efforts, of the:
 - (1) use of transit by workers with non-traditional work schedules;
 - (2) use of transit voucher programs by appropriate agencies for welfare recipients and other low-income individuals;

- (3) development of employer-provided transportation such as shuttles, ridesharing, carpooling; or
 - (4) use of transit pass programs and benefits under Section 132 of the Internal Revenue Code of 1986;
- j. Supporting the administration and expenses related to voucher programs. This activity is intended to supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Vouchers can be used as an administrative mechanism for payment to providers of alternative transportation services. The JARC program can provide vouchers to low-income individuals to purchase rides, including (1) mileage reimbursement as part of a volunteer driver program, (2) a taxi trip, or (3) trips provided by a human service agency. Providers of transportation can then submit the voucher to the JARC project administering agency for payment based on pre-determined rates or contractual arrangements. Transit passes for use on fixed route or Americans with Disabilities Act of 1990 (ADA) complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50/50 (Federal/local) match;
- k. Acquiring Geographic Information System (GIS) tools;
- l. Implementing Intelligent Transportation Systems (ITS), including customer trip information technology;
- m. Integrating automated regional public transit and human service transportation information, scheduling and dispatch functions;
- n. Deploying vehicle position-monitoring systems;
- o. Subsidizing the costs associated with adding reverse commute bus, train, carpool van routes or service from urbanized areas and nonurbanized areas to suburban work places;
- p. Subsidizing the purchase or lease by a non-profit organization or public agency of a van or bus dedicated to shuttling employees from their residences to a suburban workplace;
- q. Otherwise facilitating the provision of public transportation services to suburban employment opportunities;
- r. Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management is an eligible capital cost. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive JARC funding to support the administrative costs of sharing services it provides to its own clientele with other low-income individuals and coordinate usage of vehicles with

other non-profits, but not the operating costs of the service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include:

- (1) The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low-income individuals;
- (2) Support for short term management activities to plan and implement coordinated services;
- (3) The support of State and local coordination policy bodies and councils;
- (4) The operation of transportation brokerages to coordinate providers, funding agencies and customers;
- (5) The provision of coordination services, including employer-oriented Transportation Management Organizations' and Human Service Organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers;
- (6) The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and
- (7) Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of Geographic Information Systems (GIS) mapping, Global Positioning System technology, coordinated vehicle scheduling, dispatching and monitoring technologies as well as technologies to track costs and billing in a coordinated system and single smart customer payment systems (acquisition of technology is also eligible as a stand alone capital expense).

Appendix B

ANNUAL CERTIFICATION OF USE OF SECTION 5316 PROJECT EQUIPMENT

1. All depreciable equipment and facilities required under the Section 5316 program continue to be used for the purpose for which federal assistance was granted.
2. Any equipment and facilities disposed will be disposed of in accordance with the requirements of the property management standards as set forth in OMB Circular A-102 and 49 CFR Subtitle A, Part 18, or OMB Circular A-110 and 49 CFR Subtitle A, Part 19.
3. Equipment and facilities have been maintained in accordance with manufacturer's recommended maintenance schedules and in conformance with warranty requirements.
4. An equipment inventory is being properly maintained and will be submitted to the Missouri Department of Transportation annually.
5. Adequate insurance or self-insurance is maintained to protect the fair market value of any equipment or facilities purchased with Federal Transit Administration assistance.
6. If required, our agency has implemented an alcohol and drug-testing program in accordance with 49 CFR Subtitle A, Part 40 and 49 CFR Subtitle B, Part 655.

Agency

Address

By _____

Title _____

Date _____

Appendix C
REVIEW OF SECTION 5316 RECIPIENTS
BY THE MISSOURI DEPARTMENT OF TRANSPORTATION

Recipient's Name:

Type of Organization:

Address of Organization:

Phone Number:

Director of Organization:

Email Address:

Reviewer:

Date of Review:

Section One, Organization Overview:

1. Type(s) of transportation service provided

fixed route with complementary paratransit _____

deviated fixed route with complementary paratransit _____

demand/response _____

taxi coupon _____

other _____

2. Days and hours of operations for transportation services

Mon-Fri _____ Sat _____ Sun _____

Hrs _____ Hrs _____ Hrs _____

3. Annual operating budget _____
_____ % administration _____ % operating

4. List main sources of revenue

_____	federal	_____	state	_____	local	_____
_____	federal	_____	state	_____	local	_____
_____	federal	_____	state	_____	local	_____
_____	federal	_____	state	_____	local	_____
_____	federal	_____	state	_____	local	_____

5. Insurance for federally funded equipment and/or facilities

_____ insurance company
_____ expiration date of policy

Type(s) of insurance carried

collision on vehicles _____ liability on vehicles _____

building/equipment replacement _____ directors' liability _____

building/equipment liability _____

other _____

6. Specialty services provided (charter, tripper, package/meal delivery, etc.)

7. What findings, if any, did your organization have in the last A-133 audit?

Did your organization expend \$500,000 or more in Federal Transit Administration funds in one year? _____

Section Two, Operations

1. Transportation operating deficit for the most recent ended fiscal year
_____ (Total expense minus all non-DOT revenue)

2. Number of one-way trips provided in the previous fiscal year _____

3. Average daily fare collection _____

Fare per ride _____

Are fares discounted for the elderly/disabled ? _____

If yes, list fare _____

What procedures are followed to ensure donations and fares are properly accounted for? _____

4. How long are trip sheets and other Section 5316 records retained?

5. When scheduling trips, do you require a 24-hour advance reservation?

6. What maintenance procedures do you follow for lift-equipped vehicles?

7. For what purposes does your organization use its federally funded vehicles?

passenger transportation _____

meal delivery _____

other _____

8. List organizations with whom you coordinate transportation _____

Do you ever coordinate transportation with other providers? _____

9. If Substance Abuse testing is required, what company(s) does your organization use for alcohol and drug testing? Did you procure the contract competitively and does the contract contain all the require FTA certifications and assurances?

10. Does your organization give all new employees a copy of your substance abuse policy and at least one hour of annual training on alcohol misuse and drug abuse?

11. What does your organization do with employees who test positive for drugs or alcohol?

12. If your are required to randomly test employees for drugs and alcohol, what percentage do you test for drugs? _____ and alcohol _____?

13. How does your organization ensure that charters are incidental and do not shorten the vehicles useful life? Please provide documentation supporting this.

14. What vehicles and facilities does your organization use to provide charter service?

15. What findings, if any, did your organization have in the last independent audit? Have these findings been resolved? _____

16. What provisions have you made to backup computerized records? Are backup records located in a separate location? _____

17. Describe procedures for assembling drivers and vehicles in case of emergency. _____

Section Three, Capital

1. What measures do you take to accurately track all inventory of capital items?

2. What federally funded procurements did your organization perform in the past fiscal year?

3. How does your organization provide full and open competition in procurement?

4. What does your organization do to insure cost effectiveness in all procurements?

5. Has your organization performed any vehicle procurement on its own? Provide supporting documentation that demonstrates all applicable federal laws were followed. How were Buy America provisions handled?

6. Did your organization receive more than \$250,000 in federal funds in the past fiscal year? If so, what did your organization do to comply with federal DBE requirements?

7. Did your organization receive more than \$1 Million in federal funds (or \$250,000 in federal planning funds) and employ 50 or more employees? If so, what did your organization do to comply with EEO program requirements?

8. Does your organization lease any equipment, vehicles, or facilities? Has your organization established written cost effectiveness criteria for leasing?

9. Did your organization perform any lobbying activities in the last fiscal year? If so, what amount was paid to the lobbyist? What funds did your organization do to pay of the expense of the lobbyist?

Section Four, Civil Rights and ADA Compliance

1. Has anyone has been refused service in the last 12 months? If yes, explain.

2. Does your organization have EEO and Title VI employment policies in place?

3. Has your organization received any Title VI or EEO complaints in the past year? If so, were they resolved?

4. Do you have written set of rider rules? _____
Do you have a written complaint procedure? _____
Are service animals and medical equipment (oxygen tanks) permitted on all vehicles? _____
Do rider brochures/schedules/other documents include this information? _____

5. How are ADA service issues handled by your organization? How many vehicles are wheelchair equipped? _____

6. If you have only one accessible vehicle, what policies or contracts do you have in place to insure an accessible vehicle is available during all service hours?

service is shut down _____
contract with another provider to furnish vehicle _____
other _____

For Fixed route Service Only

7. If multiple routes serve the same stops, is each vehicle clearly marked as to what route it serves? _____

8. Are all stops accessible? _____ If not, how are inaccessible stops identified? _____

9. Do drivers announce all major stops verbally? _____
Do drivers announce all stops if a passenger requests it? _____

10. Do new drivers receive ADA training before beginning work? _____
Do new drivers receive formal training in lift deployment and wheelchair securement before beginning work? _____

11. Does ADA training for drivers include the following:
 - a. service animals are permitted _____
 - b. standees allowed to use lift _____
 - c. allowing adequate time for boarding/alighting _____
12. Is the following information included in route schedules/other documents?
 - a. respirators and oxygen tanks are permitted _____
 - b. route maps with non-accessible stops labeled _____
 - c. qualifications for paratransit eligibility _____
13. Is recovery/slack time allowed for when scheduling routes to make up for additional time taken for wheelchair or other disabled riders boarding/alighting?

Section Five, Documentation to be provided

1. Insurance policy(s)
2. EEO and Title VI policies (if applicable)
3. Trip sheets
4. Drug & Alcohol Training procedure and policy
5. Completed Drug & Alcohol MIS reports for the previous two years
6. Copy of Capital/Fixed Asset Register
7. Purchasing Guidelines and documents showing procurements comply with all federal regulations
8. Rider Policy(s)
9. Maintenance records for applicable grant funds vehicles, equipment and facilities

Section Six, Physical Site Inspection

1. Inspect vehicles.
Check for insurance card in all vehicles
Review maintenance log for each vehicle
Check for safety equipment, vehicle condition, etc
2. Inspect facilities.
Are facilities ADA accessible?
Check for all federally funded capital assets

Reviewer's comments:

Reviewers Signature

Date

I concur that by affixing my signature below that all answers and comments given are true and accurate to the best of my knowledge.

Recipient Signature

Date

